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|                                                 | Application Number        |    | 10599034        |  |
|-------------------------------------------------|---------------------------|----|-----------------|--|
|                                                 | Filing Date               |    | 2006-09-18      |  |
| NFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT | First Named Inventor Kazu |    | uhiko KATSUMATA |  |
| Not for submission under 37 CFR 1.99)           | Art Unit                  |    |                 |  |
| not to submission and of or it has              | Examiner Name             |    |                 |  |
|                                                 | Attorney Docket Numb      | er | ASAIN0188       |  |

U.S.PATENTS

| Examiner<br>Initial* | Cite<br>No | Patent Number                           | Kind<br>Code <sup>1</sup>    | Issue D         | Date                      | Name of Patentee or Applicant of cited Document |                                                   | Pages,Columns,Lines where<br>Relevant Passages or Relevant<br>Figures Appear |                                                                             |    |
|----------------------|------------|-----------------------------------------|------------------------------|-----------------|---------------------------|-------------------------------------------------|---------------------------------------------------|------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----|
|                      | 1          | 6530780                                 |                              | 2003-03         | 3-11                      | Kazumi MORI                                     | l et al.                                          |                                                                              |                                                                             |    |
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|                      | 1          | 05-230528                               | JP                           |                 |                           | 1993-09-07                                      | Daido Steel Co., L                                | ld.                                                                          |                                                                             | V  |
|                      | 2          | 2731127                                 | JP                           |                 |                           | 1996-11-12                                      | Chugai Ro Co., Ltr                                | 1                                                                            |                                                                             | V  |
|                      | 3          | 08-327240                               | JP                           |                 |                           | 1996-12-13                                      | Shimazu Mekutem                                   | u KK                                                                         |                                                                             | Z  |

#### Application Number 10599034 Filing Date 2006-09-18 INFORMATION DISCLOSURE First Named Inventor Kazuhiko KATSUMATA STATEMENT BY APPLICANT Art I Init ( Not for submission under 37 CFR 1.99) Examiner Name Attorney Docket Number ASAIM0188

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|                                                                                                                   | 1                                                                                                                                                                                                                                                                                 | YAM    | IAZAKI, Katsuhiro, "Vacuum Heat Treatment," Heat Treatment, 19 | 90, pp. 110-115, Vol. 3 | 80, No. 2 |   |  |  |
|                                                                                                                   | 2 Infernational Search Report issued in corresponding application no. PCTI/IP2004/003856, completed May 10, 2004 and mailed May 25, 2004.                                                                                                                                         |        |                                                                |                         |           | Z |  |  |
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English language translation is attached.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

| Application Number         |  | 10599034       |
|----------------------------|--|----------------|
| Filing Date                |  | 2006-09-18     |
| First Named Inventor Kazul |  | hiko KATSUMATA |
| Art Unit                   |  |                |
| Examiner Name              |  |                |
| Attorney Docket Number     |  | ASAIN0188      |

### CERTIFICATION STATEMENT

| Please see 37 | CFR 1 | .97 and | 1.98 to mak | e the approp | oriate selection | (s) | k |
|---------------|-------|---------|-------------|--------------|------------------|-----|---|
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## OR

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquity, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(eV).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- 7 None

### SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

| Signature  | /Joerg-Uwe Szipl/ | Date (YYYY-MM-DD)   | 2006-10-11 |
|------------|-------------------|---------------------|------------|
| Name/Drint | Joseph Live Chief | Desistration Number | 31700      |

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